

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Rainer BISCHOFF et al.

Application No.: Unassigned  
(Continuation of Serial No.  
09/171,845)

Filed: December 18, 2001

For: NOVEL LIPID COMPOUNDS AND  
COMPOSITIONS CONTAINING SAME  
USED FOR THE TRANSFER OF AT  
LEAST AN ACTIVE SUBSTANCE, IN  
PARTICULAR A POLYNUCLEOTIDE,  
INTO A TARGET CELL AND  
THERAPEUTIC USE

Group Art Unit: Unassigned

Examiner: Unassigned

#4/R.T.  
5/4  
I.D.S.

INFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTER

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed is an Information Disclosure Statement and accompanying form PTO-1449 for the above-identified patent application.

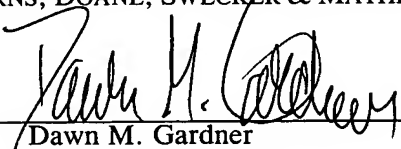
- ☒ No additional fee for submission of an IDS is required.
- ☐ The fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e), and the fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) are also enclosed.
- ☐ Charge \$\_\_\_\_\_ to Deposit Account No. 02-4800 for the fee due.
- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed for the fee due.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By:

  
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Alexandria, Virginia 22313-1404  
(703) 836-6620

Date: December 19, 2001

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 SUBSTANCE, IN PARTICULAR A )  
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 TARGET CELL AND THERAPEUTIC )  
 USE )

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

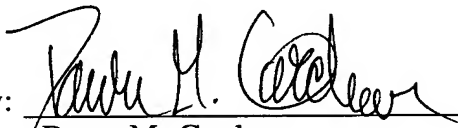
In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56,  
Applicants hereby submit the following information in conformance with 37 C.F.R.  
§§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited on  
the attached PTO Form 1449 were submitted or cited in parent Application Serial No.  
09/171,845, Thus, these documents are not enclosed herewith.

The documents are being submitted within 3 months of the filing or entry of the  
national stage of this application or before the first Office Action on the merits, whichever  
is later, therefore no fee or certification is required under 37 C.F.R. § 1.97(b).

To assist the Examiner, the above-cited documents are listed on the attached forms PTO-1449. It is respectfully requested that an Examiner initialled copy of this form be returned to the undersigned.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

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Alexandria, Virginia 22313-1404  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

APPLICANT  
Rainer BISCHOFF et al.

**FILING DATE**  
December 18, 2001

GROUP
Unassigned

UC979 U S. PTO

0/021421

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## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Foreign Patent Document		Country	Date of Publication (MM-DD-YYYY)	Translation	
	Number	Kind Code (if known)			Yes	no
	94 05624		WIPO	08-02-1994		
	91 16024		WIPO	11-23-1993		
	97 03939		WIPO	02-18-1997		
	96 40726		WIPO	12-30-1996		
	97 31934		WIPO	09-04-1997		

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
	Sakai et al., "Total synthesis of galantin I. Revision of the original structure," <i>Tetrahedron Letters</i> , 1990, pp. 3183-86, vol. 31, no. 22.		
	Czerwinski et al., "Total synthesis of edeine D," <i>Journal of Antibiotics</i> , 1983, pp. 1001-06, vol. 36, no. 8.		
	Hougard et al., <i>Eur. J. Cell Biol.</i> , 1987, pp. 151-55, vol. 44, no. 1.		
	Gao et al., "Potentiation of Cationic Liposome-Mediated Gene Delivery by Polycations," <i>Biochemistry</i> , 1996, pp. 1027-36, vol. 35.		
	Hanvey et al., "DNA triple-helix formation at physiologic pH and temperature," <i>Antisense Res. Dev.</i> , 1991, pp. 307-17, vol 1, no. 4.		
	Shimogori et al., "Spermidine Regulation of Protein Synthesis at the Level of Initiation Complex Formation of Met-t-RNA <sub>i</sub> , mRNA and Ribosomes," <i>Biochem. Biophys. Res. Comm.</i> , 1996, pp. 544-48, vol. 223.		
	Verma et al., "Gene therapy - promises, problems and prospects," <i>Nature</i> , 1997, pp. 239-42, vol. 389.		
	Anderson et al., "Human gene therapy," <i>Nature</i> , 1997, pp. 25-30, vol. 392.		
	Yoshikawa et al., "Folding and aggregation of DNA chains induced by complexation with lipospermine: formation of a nucleosome-like structure and network assembly," <i>FEBS Lett.</i> , 1987, pp. 71-76, vol. 396, no. 1.		
Examiner Signature		Date Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.